

**WEST**[Help](#)[Logout](#)[Interrupt](#)[Main Menu](#)[Search Form](#)[Posting Counts](#)[Show S Numbers](#)[Edit S Numbers](#)[Preferences](#)[Cases](#)**Search Results -**

Terms	Documents
L36 and securiti\$ near2 trad\$	26

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side by side

**Hit Count** **Set Name**  
result set

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<u>L37</u>	L36 and securiti\$ near2 trad\$	26	<u>L37</u>
<u>L36</u>	L35 and computer near2 programs	10573	<u>L36</u>
<u>L35</u>	L33 and "central processing unit"	28429	<u>L35</u>
<u>L34</u>	L33 and "central processing unit" or cpu	290810	<u>L34</u>
<u>L33</u>	L32 and memory	183264	<u>L33</u>
<u>L32</u>	(internet or www or network)	679731	<u>L32</u>
<u>L31</u>	internet-based near securiti\$ near trad\$	4	<u>L31</u>
<u>L30</u>	trad\$ near2 securiti\$	684	<u>L30</u>
<u>L29</u>	L27 and print\$ near report	110	<u>L29</u>
<u>L28</u>	L27 and generic near2 orders	4	<u>L28</u>
<u>L27</u>	security near5 order	5502	<u>L27</u>
<u>L26</u>	6016483.pn.	2	<u>L26</u>
<u>L25</u>	6014643.pn.	2	<u>L25</u>
<u>L24</u>	5950176.pn.	2	<u>L24</u>
<u>L23</u>	5787402.pn.	2	<u>L23</u>
<u>L22</u>	5347452.pn.	2	<u>L22</u>
<u>L21</u>	4674044.pn.	2	<u>L21</u>
<u>L20</u>	6278982.pn.	2	<u>L20</u>
<u>L19</u>	4745559.pn.	2	<u>L19</u>
<u>L18</u>	4750135.pn.	2	<u>L18</u>
<u>L17</u>	5003473.pn.	2	<u>L17</u>
<u>L16</u>	5034916.pn.	2	<u>L16</u>
<u>L15</u>	5077665.pn.	2	<u>L15</u>
<u>L14</u>	5727165.pn.	2	<u>L14</u>
<u>L13</u>	5136501.pn.	2	<u>L13</u>
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<u>L11</u>	5927165.pn.	2	<u>L11</u>
<u>L10</u>	5924082.pn.	2	<u>L10</u>
<u>L9</u>	5924083.pn.	2	<u>L9</u>
<u>L8</u>	5966531.pn.	2	<u>L8</u>
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<u>L5</u>	6260025.pn.	2	<u>L5</u>
<u>L4</u>	5640505.pn.	2	<u>L4</u>
<u>L3</u>	5819238.pn.	2	<u>L3</u>
<u>L2</u>	6317728.pn.	2	<u>L2</u>
<u>L1</u>	4674044.pn.	2	<u>L1</u>

END OF SEARCH HISTORY

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L37: Entry 20 of 26

File: USPT

Jun 18, 2002

US-PAT-NO: 6408282

DOCUMENT-IDENTIFIER: US 6408282 B1

TITLE: System and method for conducting securities transactions over a computer  
network

DATE-ISSUED: June 18, 2002

## INVENTOR-INFORMATION:

NAME	CITY	STATE	ZIP CODE	COUNTRY
Buist; Walter D.	Hasbrouck Heights	NJ		

## ASSIGNEE-INFORMATION:

NAME	CITY	STATE	ZIP CODE	COUNTRY	TYPE CODE
Wit Capital Corp.	New York	NY			02

APPL-NO: 09/ 292553 [PALM]

DATE FILED: April 15, 1999

## PARENT-CASE:

This application claims benefit to U.S. Provisional No. 60/122,208 filed Mar. 1, 1999.

INT-CL: [07] G06 F 17/60

US-CL-ISSUED: 705/37; 705/36

US-CL-CURRENT: 705/37; 705/36

FIELD-OF-SEARCH: 705/36, 705/37

PRIOR-ART-DISCLOSED:

## U.S. PATENT DOCUMENTS

Search Selected

Search ALL

	PAT-NO	ISSUE-DATE	PATENTEE-NAME	US-CL
<input type="checkbox"/>	<u>3573747</u>	April 1971	Adams	705/37
<input type="checkbox"/>	<u>5809483</u>	September 1998	Broka et al.	705/37
<input type="checkbox"/>	<u>5873071</u>	February 1999	Ferstenberg et al.	705/37
<input type="checkbox"/>	<u>5924082</u>	July 1999	Silverman et al.	705/37
<input type="checkbox"/>	<u>6014643</u>	July 1999	Minton	705/37
<input type="checkbox"/>	<u>5950177</u>	September 1999	Lupien et al.	705/37
<input type="checkbox"/>	<u>6012046</u>	January 2000	Lupien	705/37
<input type="checkbox"/>	<u>6243691</u>	June 2001	Fisher et al.	705/37

## FOREIGN PATENT DOCUMENTS

FOREIGN-PAT-NO	PUBN-DATE	COUNTRY	US-CL
0407026	September 1991	EP	
WO9506918	March 1995	WO	
WO9634357	October 1996	WO	
WO9852133	November 1998	WO	

## OTHER PUBLICATIONS

"Morgan Stanley Deploys Black Box Trading System"; May 1991; Trading Systems Technology; Dialog file 636, Accession No. 01493468.\*  
Louis; "New breed of ECNs competes for market share"; Nov. 1998; Wall Street and Technology Online Trading Supplement PP: 16-17; Dialog file 15, Accession No. 01726082.\*  
Resnick; "Serial portfolio. (Online securities trading) (including listing of products and services"; Dec. 1992; Computer, V14, n11, p90(4); dialog filw 148, Accession No. 06184981.\*  
Lehman "Trading and liquidity on the Tokyo Stock Exchange: a bird's eye view"; Jul. 1994, Journal of Finance, v49, n3, p951(34); Dialog file 148, Accession No. 0752021.

ART-UNIT: 2163

PRIMARY-EXAMINER: Hafiz; Tariq R.

ASSISTANT-EXAMINER: Jeanty; Romain

## ABSTRACT:

The system and method of the preferred embodiment supports trading of securities over the Internet both on national exchanges and outside the national exchanges. The preferred embodiment supports an improved human interface and a continuous display of real-time stock quotes on the user's computer screen. The ergonomic graphical user interface (GUI) of the preferred embodiment includes several functional benefits in comparison with existing on-line consumer trading systems. In the preferred embodiment, the users are subscribers to a securities trading service offered over the Internet. Preferably, each subscriber to this service is simultaneously connected from his own computer to a first system which provides user-to-user trading capabilities and to a second system which is a broker/dealer system of his/her choice. The system providing the user-to-user trading services preferably includes a root server and a hierarchical network of replicated servers supporting replicated databases. The user-to-user system provides real-time continuously updated stock information and facilitates user-to-user trades that have been approved by the broker/dealer systems with which it interacts. Users of the preferred system can trade securities with other users of the system. As part of this user-to-user trading, a user can accept a buy or sell offer at the terms offered or he can initiate a counteroffer and negotiate a trade.

7 Claims, 71 Drawing figures

**WEST**☐

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L1: Entry 1 of 2

File: USPT

Jun 16, 1987

US-PAT-NO: 4674044

DOCUMENT-IDENTIFIER: US 4674044 A

TITLE: Automated securities trading system

DATE-ISSUED: June 16, 1987

## INVENTOR-INFORMATION:

NAME	CITY	STATE	ZIP CODE	COUNTRY
Kalmus; Leslie P.	New York	NY		
Trojan; Donald R.	Stamford	CT		
Mott; Bradley	Douglaston	NY		
Strampfer; John	Greenlawn	NY		

## ASSIGNEE-INFORMATION:

NAME	CITY	STATE	ZIP CODE	COUNTRY	TYPE	CODE
Merrill Lynch, Pierce, Fenner & Smith, Inc.	New York	NY				02

APPL-NO: 06/ 696407 [PALM]

DATE FILED: January 30, 1985

INT-CL: [04] G06F 15/20, G06F 15/30

US-CL-ISSUED: 364/408; 340/825.26, 340/825.27

US-CL-CURRENT: 705/37; 340/825.26, 340/825.27

FIELD-OF-SEARCH: 364/408, 364/200, 364/900, 340/825.26, 340/825.27

PRIOR-ART-DISCLOSED:

## U.S. PATENT DOCUMENTS

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	PAT-NO	ISSUE-DATE	PATENTEE-NAME	US-CL
<input type="checkbox"/>	<u>2046381</u>	July 1936	Hicks	340/825.27
<input type="checkbox"/>	<u>3082402</u>	March 1963	Scantlin	340/825.27
<input type="checkbox"/>	<u>3296597</u>	June 1967	Scantlin	340/825.27
<input type="checkbox"/>	<u>3387268</u>	June 1968	Epstein	340/825.27
<input type="checkbox"/>	<u>3573747</u>	April 1971	Adams	340/825.27
<input type="checkbox"/>	<u>3716835</u>	February 1973	Weinberg	340/825.27
<input type="checkbox"/>	<u>4334270</u>	June 1982	Towers	364/408
<input type="checkbox"/>	<u>4412287</u>	October 1983	Braddock	364/408
<input type="checkbox"/>	<u>4473824</u>	September 1984	Claytor	340/792
<input type="checkbox"/>	<u>4554418</u>	November 1985	Toy	364/900

ART-UNIT: 236

PRIMARY-EXAMINER: Smith; Jerry

ASSISTANT-EXAMINER: Hayes; G.

ABSTRACT:

Data processing based apparatus makes an automated trading market for one or more securities. The system retrieves the best obtaining bid and asked prices from a remote data base, covering the ensemble of institutions or others making a market for the relevant securities. Data characterizing each securities buy/sell order requested by a customer is supplied to the system. The order is qualified for execution by comparing its specifics against predetermined stored parameters. The stored parameters include the operative bid and asked prices, the amount of stock available for customer purchase or sale, and maximum single order size.

Once qualified, the order is executed and the appropriate parameters are updated. The system provides inventory (position) control and profit accounting for the market maker. Finally, the system reports the executed trade details to the customer, and to national stock price reporting systems. Upon a change in the quoted price for a security, the system updates all relevant qualification parameters.

10 Claims, 6 Drawing figures

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L2: Entry 1 of 2

File: USPT

Nov 13, 2001

US-PAT-NO: 6317728

DOCUMENT-IDENTIFIER: US 6317728 B1

TITLE: Securities and commodities trading system

DATE-ISSUED: November 13, 2001

## INVENTOR-INFORMATION:

NAME	CITY	STATE	ZIP CODE	COUNTRY
Kane; Richard L.	Boca Raton	FL	33496	

APPL-NO: 09/ 170745 [PALM]

DATE FILED: October 13, 1998

INT-CL: [07] G06 F 17/60

US-CL-ISSUED: 705/37; 705/36

US-CL-CURRENT: 705/37; 705/36

FIELD-OF-SEARCH: 705/35, 705/36, 705/37, 705/38, 705/39, 235/379, 235/380, 340/825.26

PRIOR-ART-DISCLOSED:

## U.S. PATENT DOCUMENTS

Search Selected

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	PAT-NO	ISSUE-DATE	PATENTEE-NAME	US-CL
<input type="checkbox"/>	<u>4674044</u>	June 1987	Kalmus et al.	705/37
<input type="checkbox"/>	<u>5101353</u>	March 1992	Lupien et al.	705/37
<input type="checkbox"/>	<u>5297031</u>	March 1994	Guttermann et al.	705/37
<input type="checkbox"/>	<u>5305200</u>	April 1994	Hartheimer et al.	705/37
<input type="checkbox"/>	<u>5375055</u>	December 1994	Togher et al.	705/37
<input type="checkbox"/>	<u>5497317</u>	March 1996	Hawkins et al.	705/37
<input type="checkbox"/>	<u>5563783</u>	October 1996	Stolfo et al.	705/8
<input type="checkbox"/>	<u>5671363</u>	September 1997	Cristofich et al.	705/37
<input type="checkbox"/>	<u>5845266</u>	December 1998	Lupien et al.	705/37
<input type="checkbox"/>	<u>5873071</u>	February 1999	Ferstenberg et al.	705/37
<input type="checkbox"/>	<u>6012042</u>	January 2000	Black et al.	705/36
<input type="checkbox"/>	<u>6018722</u>	January 2000	Ray et al.	705/36

## FOREIGN PATENT DOCUMENTS

FOREIGN-PAT-NO	PUBN-DATE	COUNTRY	US-CL
000790568A1	August 1997	EP	
410011510A	January 1998	JP	
WO009641293A1	December 1996	WO	

## OTHER PUBLICATIONS

Waters Information Services, Inc. "Citibank Tests FX AI System Compatible With F/X Trader?" FX Week, v1, n33, pN/A, Feb. 1991.\*  
Schmerken, Ivy, "Experts from the Promised Land to Wall Street", Wall Street & Technology, v11, n13, p22(3), May 1994.\*  
Omnitrader, "Investment analysis software 1996 Guide Computerized Trading Evaluation", Future v25, n8, p37(1), Feb. 1991.\*  
English D, How to choose and use investment software. (Compute's Getting Started with Personal money Mangement) (Buyers Guide), Compute, v15, n4, pS12 (4), Apr. 1993.\*  
Gilliland S, "Take stock of your finances: investment software", Computer Shopper, v14, n3, p512 (6), Mar. 1994.

ART-UNIT: 215

PRIMARY-EXAMINER: Millin; Vincent

ASSISTANT-EXAMINER: Kazimi; Hani M.

## ABSTRACT:

In accordance with the invention there is provided a securities trading system based on the principles of artificial intelligence. It includes a data acquisition system having an input communicating with a securities exchange for receiving securities buy/sell data; a clock for generating clock times; a processing logic having inputs respectively communicating with the data acquisition system and with the clock for assigning respective clock times to said buy/sell data; a decision logic having a repository for storing a set of buy/sell rules for buying and selling securities in response to the buy and sell data aligned with the clock times; and a buy and sell execution system having an input communicating with the decision logic for executing buy and sell orders in conformance with the buy/sell rules. In the securities trading system according to the invention, the decision logic includes at least one decision agent, the agent representing a respective buy/sell rule, wherein further the decision logic may include at least two decision agents, each decision agent representing a respective buy rule or a respective sell rule. Artificial intelligence is provided in that the decision agents are rewarded in a feed-back arrangement by being given added or reduced voting power when their recommendations are found to respectively result in successful or unsuccessful decisions. Thereby a self-learning feature is provided which results in improving the performance of the system as the number of transactions increase.

9 Claims, 23 Drawing figures



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L4: Entry 1 of 2

File: USPT

Jun 17, 1997

US-PAT-NO: 5640505

DOCUMENT-IDENTIFIER: US 5640505 A

TITLE: Operational support structure for a telecommunications network

DATE-ISSUED: June 17, 1997

## INVENTOR-INFORMATION:

NAME	CITY	STATE	ZIP CODE	COUNTRY
Hearn; Richard Samuel Edwin	London			GB2
Bell; Robert Charles	Croydon			GB2
Hall; Rodney Christopher	Kent			GB2
Farr; Barry Sidney	Buckinghamshire			GB2
Harris; Stephen John	Middlesex			GB2
Grantham; Colin	London			GB2
Spence; Catherine	London			GB2
Fellows; Terry	Hartfordshire			GB2
Spooner; Michael James	Bedfordshire			GB2
Day; Michael William	Middlesex			GB2
Furley; Nicholas John	Buckinghamshire			GB2
Evans; Michael John	Bedfordshire			GB2
Wells; Stephen Raymond	Kent			GB2
Dance; Alan	Hampshire			GB2
Taylor; Ian Bryan	Ipswich			GB2
Williams; Eric Jenkin	Liverpool			GB2
Jones; Philip Stephen	Suffolk			GB2
Morrow; Gerard	Suffolk			GB2
Wilson; Stephen Andrew M.	Hertfordshire			GB2
Mountford; John Allan	Milton Keynes			GB2
Pyzer; Simon Magnus	Hertfordshire			GB2
Lumpkin; Alistair John	Suffolk			GB2

## ASSIGNEE-INFORMATION:

NAME	CITY	STATE	ZIP CODE	COUNTRY	TYPE	CODE
British Telecommunications public limited company	London			GB2		03

APPL-NO: 08/ 524289 [PALM]  
DATE FILED: September 6, 1995

## FOREIGN-APPL-PRIORITY-DATA:

COUNTRY	APPL-NO	APPL-DATE
EP	94306574	September 7, 1994

INT-CL: [06] G06 F 11/00

US-CL-ISSUED: 395/182.02; 395/208, 395/228, 395/182.01, 379/201  
US-CL-CURRENT: 714/4; 379/114.01, 379/9, 705/28, 705/8, 714/3

FIELD-OF-SEARCH: 395/182.02, 395/182.01, 395/183.03, 395/201, 395/208, 395/209, 395/228, 395/234, 379/201

PRIOR-ART-DISCLOSED:

## U.S. PATENT DOCUMENTS

Search Selected

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	PAT-NO	ISSUE-DATE	PATENTEE-NAME	US-CL
<input type="checkbox"/>	<u>4912698</u>	March 1990	Bitzinger	395/182.02 X
<input type="checkbox"/>	<u>5222128</u>	June 1993	Daly	379/221
<input type="checkbox"/>	<u>5276861</u>	January 1994	Howarth	395/182.02
<input type="checkbox"/>	<u>5416833</u>	May 1995	Harper	379/201
<input type="checkbox"/>	<u>5444693</u>	August 1995	Arslan	370/16
<input type="checkbox"/>	<u>5483585</u>	January 1996	Parker	379/201
<input type="checkbox"/>	<u>5519772</u>	May 1996	Akman	379/265
<input type="checkbox"/>	<u>5528677</u>	June 1996	Butler	379/196

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Wilson, "Service Management Systems: Supporting the Customer Interface", British Telecommunications Engineering, vol. 13, No. 1, Apr. 1994, London GB, pp. 20-23.  
Scheurer, Telcom Report, vol. 17, No. 1, Jan. 1994, Munchen De, pp. 12-15,  
"Einheitliches Management Fur Die Digitale Telekommunikationswelt".  
Helleur et al, "Network Administration Support System Development", British Telecommunications Engineering, vol. 9, No. 3, Oct. 1990, London GB, pp. 179-186.  
Campbell et al, "A Layered Approach to Network Management Control", IEEE 92 Network Operations and Management Symposium, vol. 1, 1992, Memphis (US), pp. 46-56.  
Stinson et al, "Design and Deployment of an Integrated Network Management System for a Large Telco Network", 94 IEEE Network Operations and Management Symposium, vol. 1, 14 Feb. 1994, Orlando (US), pp. 36-48.

ART-UNIT: 243

PRIMARY-EXAMINER: Beausoliel, Jr.; Robert W.

ASSISTANT-EXAMINER: Le; Dieu-Minh

## ABSTRACT:

A support structure for an operational telecommunications network deploys a set of individual technologies and provides a set of services to customers. The support structure is divided into a set of domains each of which provides a particular management function for the network. These domains include a domain for managing customer handling functions, a domain for managing the network, a domain for managing the individual technologies deployed in the network, a domain for managing instances of the individual services provided by the network, a domain for managing billing operations, a domain for managing the services provided by the network when grouped together to form a portfolio, and a domain for managing jobs performed by the human workforce for the network. Each domain has its own set of databases and systems for performing the required management operations and also interfaces to some of the other domains. Each domain is implemented by one or more tightly integrated computers. The interfaces between the domains are primarily message passing interfaces.

20 Claims, 13 Drawing figures

**WEST**

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L6: Entry 1 of 2

File: USPT

Dec 21, 1999

US-PAT-NO: 6006206

DOCUMENT-IDENTIFIER: US 6006206 A

TITLE: Data health monitor for financial information communications networks

DATE-ISSUED: December 21, 1999

## INVENTOR-INFORMATION:

NAME	CITY	STATE	ZIP CODE	COUNTRY
Smith; Christina	Croydon			GB
Fletcher; Steve John Harwood	Ipswich			GB
Dale; Stephen G.	Stansted Mountfitchet			GB

## ASSIGNEE-INFORMATION:

NAME	CITY	STATE	ZIP CODE	COUNTRY	TYPE CODE
Reuters Limited				GB	03

APPL-NO: 08/ 925586 [PALM]

DATE FILED: September 8, 1997

INT-CL: [06] G06 F 17/40, G06 F 17/60

US-CL-ISSUED: 705/35; 395/200.54, 395/200.78, 707/511, 707/530, 707/200, 707/962

US-CL-CURRENT: 705/35; 707/200, 709/224, 709/248, 715/511, 715/530

FIELD-OF-SEARCH: 705/1, 705/35, 705/37, 707/203, 707/1, 707/10, 707/104, 707/200, 707/511, 707/530, 707/540, 345/962, 345/330, 345/331, 345/332, 395/200.35, 395/200.54, 395/200.78

PRIOR-ART-DISCLOSED:

U.S. PATENT DOCUMENTS

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<input type="checkbox"/>	<u>4371871</u>	February 1983	Adams	340/825.26
<input type="checkbox"/>	<u>4584643</u>	April 1986	Halpern et al.	395/200.78
<input type="checkbox"/>	<u>4710926</u>	December 1987	Brown et al.	395/182.02
<input type="checkbox"/>	<u>4745559</u>	May 1988	Willis et al.	705/37
<input type="checkbox"/>	<u>4750135</u>	June 1986	Boilen	395/200.61
<input type="checkbox"/>	<u>4807224</u>	February 1989	Naron et al.	370/218
<input type="checkbox"/>	<u>4868866</u>	September 1989	Williams, Jr.	340/825.31
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<input type="checkbox"/>	<u>5396587</u>	March 1995	Reed et al.	707/503
<input type="checkbox"/>	<u>5442637</u>	August 1995	Nguyen	371/5.5
<input type="checkbox"/>	<u>5471629</u>	November 1995	Risch	707/201
<input type="checkbox"/>	<u>5483631</u>	January 1996	Nagai et al.	345/329
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<input type="checkbox"/>	<u>5491780</u>	February 1996	Fyles et al.	345/332
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<input type="checkbox"/>	<u>5694608</u>	December 1997	Shostak	707/506
<input type="checkbox"/>	<u>5701465</u>	December 1997	Baugher et al.	707/10
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<input type="checkbox"/>	<u>5799318</u>	August 1998	Cardinal et al.	707/104
<input type="checkbox"/>	<u>5826253</u>	October 1998	Bredenbergh	707/2
<input type="checkbox"/>	<u>5835910</u>	November 1998	Kavanagh et al.	707/103
<input type="checkbox"/>	<u>5838938</u>	November 1998	Morgan	345/328

FOREIGN PATENT DOCUMENTS

FOREIGN-PAT-NO  
0 434 224 A2

PUBN-DATE  
November 1990

COUNTRY  
EP

US-CL

#### OTHER PUBLICATIONS

Paulus, Jochen, Well Speculated!, <http://www.slingshot.ie/press/global.htm>, Aug. 1997.

Multimedia Business Analyst, n 8, p. 8, Feb. 12, 1997.

ART-UNIT: 274

PRIMARY-EXAMINER: Trammell; James P.

ASSISTANT-EXAMINER: Rosen; Nicholas D.

#### ABSTRACT:

A financial communications network incorporating a data health monitor includes a plurality of data sources, a plurality of data collection system, a client site terminal and a network connecting these components. Each data collection system includes a processor for receiving and formatting financial data received from said data sources, wherein the formatted financial data has a data field including a first data source identifier identifying the data source of said formatted financial data and a first system identifier identifying the data collection system formatting said formatted financial data. The data collection systems also include a status code generator for generating and transmitting a status code, wherein the status code generator automatically updates the status code when the operating status of a corresponding data source changes; and a heartbeat signal generator for generating and periodically transmitting a heartbeat signal. The client site terminal includes a processor for receiving the formatted financial data, the heartbeat signal and the status codes which it processes to determine whether there is a problem in the receipt of the financial data which prevents the terminal's receipt of the data in real time. The client site terminal then selects a real-time or stale display mode for displaying the financial data, and a display displays the financial data in accordance with the selected real-time or stale display mode.

23 Claims, 7 Drawing figures

**WEST**

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L7: Entry 1 of 2

File: USPT

Nov 16, 1999

US-PAT-NO: 5987432

DOCUMENT-IDENTIFIER: US 5987432 A

TITLE: Fault-tolerant central ticker plant system for distributing financial market data

DATE-ISSUED: November 16, 1999

## INVENTOR-INFORMATION:

NAME	CITY	STATE	ZIP CODE	COUNTRY
Zusman; Joseph	Sherman Oaks	CA		
Tang; Jennifer L.	Canoga Park	CA		
Nakelsky; Raymond S.	Los Angeles	CA		
Verbeck; Stephen L.	Lake Forest	CA		
Azizian; David	West Los Angeles	CA		

## ASSIGNEE-INFORMATION:

NAME	CITY	STATE	ZIP CODE	COUNTRY	TYPE CODE
Reuters, Ltd.	London			GB	03

APPL-NO: 08/ 998983 [PALM]

DATE FILED: December 29, 1997

## PARENT-CASE:

This application is a continuation of Ser. No. 08/269,232, now abandoned, filed Jun. 6, 1994.

INT-CL: [06] G06 F 17/60

US-CL-ISSUED: 705/35; 705/37, 709/260

US-CL-CURRENT: 705/35; 705/37, 714/11

FIELD-OF-SEARCH: 705/35, 705/36, 705/37, 705/1, 707/10, 707/104, 380/49, 395/500.44, 395/500.48, 709/247, 709/260, 370/242, 370/216

PRIOR-ART-DISCLOSED:

U.S. PATENT DOCUMENTS

Search Selected

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	PAT-NO	ISSU DATE	PATENTEE-NAME	US-CL
<input type="checkbox"/>	<u>3082402</u>	March 1963	Scantlin	
<input type="checkbox"/>	<u>3513442</u>	May 1970	Sieracki	
<input type="checkbox"/>	<u>3611294</u>	October 1971	O'Neill et al	
<input type="checkbox"/>	<u>3689872</u>	September 1972	Sieracki	
<input type="checkbox"/>	<u>4473824</u>	September 1984	Clayton	
<input type="checkbox"/>	<u>4554418</u>	November 1985	Toy	
<input type="checkbox"/>	<u>4566066</u>	January 1986	Towers	
<input type="checkbox"/>	<u>4665519</u>	May 1987	Kirchner et al.	
<input type="checkbox"/>	<u>4674044</u>	June 1987	Kalmus et al.	
<input type="checkbox"/>	<u>4677434</u>	June 1987	Fascenda	
<input type="checkbox"/>	<u>4677552</u>	June 1987	Sibley, Jr.	
<input type="checkbox"/>	<u>4868866</u>	September 1989	Williams, Jr.	
<input type="checkbox"/>	<u>4942616</u>	July 1990	Linstroth et al.	
<input type="checkbox"/>	<u>4989141</u>	January 1991	Lyons et al.	
<input type="checkbox"/>	<u>5038284</u>	August 1991	Kramer	
<input type="checkbox"/>	<u>5045848</u>	September 1991	Fascenda	
<input type="checkbox"/>	<u>5101353</u>	March 1992	Lupien et al.	
<input type="checkbox"/>	<u>5119465</u>	June 1992	Jack et al.	
<input type="checkbox"/>	<u>5131020</u>	July 1992	Liebesny et al.	
<input type="checkbox"/>	<u>5303149</u>	April 1994	Janigian	
<input type="checkbox"/>	<u>5557780</u>	September 1996	Edwards et al.	
<input type="checkbox"/>	<u>5710889</u>	January 1998	Clark et al.	
<input type="checkbox"/>	<u>5774878</u>	June 1998	Marshall	
<input type="checkbox"/>	<u>5864827</u>	January 1999	Wilson	
<input type="checkbox"/>	<u>5870719</u>	February 1999	Martizen et al.	
<input type="checkbox"/>	<u>5893079</u>	April 1999	Cwenar	

ART-UNIT: 274

PRIMARY-EXAMINER: Weinhardt; Robert A.

## ABSTRACT:

A central ticker plant system for distributing financial market data that receives ticker feed data from many exchanges throughout the world, processes and formats the received data and then distributes or broadcasts the data to regional customers in the form of securities transactional data denoting the security identity and related transactional data. The central ticker plant system is fault-tolerant because of novel hardware redundancy and multi-thread software processing architecture and operates continuously during hardware and software maintenance and repair, ensuring that every financial market data message received from the exchanges is included within 500 milliseconds in broadcast output.

18 Claims, 12 Drawing figures

**WEST**

Generate Collection

Print

L8: Entry 1 of 2

File: USPT

Oct 12, 1999

US-PAT-NO: 5966531

DOCUMENT-IDENTIFIER: US 5966531 A

TITLE: Apparatus and method for providing decoupled data communications between software processes

DATE-ISSUED: October 12, 1999

## INVENTOR-INFORMATION:

NAME	CITY	STATE	ZIP CODE	COUNTRY
Skeen; Marion Dale	Palo Alto	CA		
Bowles; Mark	Woodside	CA		

## ASSIGNEE-INFORMATION:

NAME	CITY	STATE	ZIP CODE	COUNTRY	TYPE CODE
Reuters, Ltd.	London			GB	03

APPL-NO: 08/ 478225 [PALM]

DATE FILED: June 7, 1995

## PARENT-CASE:

This is a continuation application under 37 C.F.R. 1.60 of U.S. patent application Ser. No. 07/632,551, filed Dec. 21, 1990, which is now U.S. Pat. No. 5,557,798 (Attorney Docket TEK-009) which was a Continuation-In-Part application of Ser. No. 07/601,117, filed Oct. 22, 1990 for APPARATUS AND METHOD FOR PROVIDING DECOUPLING OF DATA EXCHANGE DETAILS AND PROVIDING HIGH PERFORMANCE COMMUNICATION BETWEEN SOFTWARE PROCESSES, which is now U.S. Pat. No. 5,257,369, (Attorney Docket TEK-008), which was a Continuation-In-Part application of Ser. No. 07/386,584 filed Jul. 27, 1989 for APPARATUS AND METHOD FOR PROVIDING DECOUPLING OF DATA EXCHANGE DETAILS AND PROVIDING HIGH PERFORMANCE COMMUNICATION BETWEEN SOFTWARE PROCESSES, which is now U.S. Pat. No. 5,187,787 (Attorney Docket TEK-001).

INT-CL: [06] G06 F 7/00

US-CL-ISSUED: 395/683; 395/701

US-CL-CURRENT: 709/315; 717/100

FIELD-OF-SEARCH: 395/700, 395/650, 395/680, 395/683, 395/681, 395/682, 395/684, 395/685, 395/701

PRIOR-ART-DISCLOSED:

U.S. PATENT DOCUMENTS

Search Selected

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	PAT-NO	ISSUE DATE	PATENTEE-NAME	US-CL
<input type="checkbox"/>	<u>4363093</u>	December 1982	Davis et al.	364/200
<input type="checkbox"/>	<u>4688170</u>	August 1987	Waite et al.	364/200
<input type="checkbox"/>	<u>4718005</u>	January 1988	Feigenbaum et al.	364/200
<input type="checkbox"/>	<u>4751635</u>	June 1988	Kret	364/200
<input type="checkbox"/>	<u>4815030</u>	March 1989	Cross et al.	364/900
<input type="checkbox"/>	<u>4823122</u>	April 1989	Mann et al.	340/825.28
<input type="checkbox"/>	<u>4851988</u>	July 1989	Trottier et al.	364/200
<input type="checkbox"/>	<u>4885717</u>	December 1989	Beck et al.	395/683
<input type="checkbox"/>	<u>4914583</u>	April 1990	Weisshaar et al.	364/200
<input type="checkbox"/>	<u>4937784</u>	June 1990	Masai et al.	364/900
<input type="checkbox"/>	<u>4975830</u>	December 1990	Gerpheide et al.	364/200
<input type="checkbox"/>	<u>4975904</u>	December 1990	Mann et al.	370/85.1
<input type="checkbox"/>	<u>4975905</u>	December 1990	Mann et al.	370/85.1
<input type="checkbox"/>	<u>4992972</u>	February 1991	Brooks et al.	364/900
<input type="checkbox"/>	<u>4999771</u>	March 1991	Ralph et al.	364/200
<input type="checkbox"/>	<u>5057996</u>	October 1991	Cutler et al.	395/683
<input type="checkbox"/>	<u>5058108</u>	October 1991	Mann et al.	370/85.1
<input type="checkbox"/>	<u>5062037</u>	October 1991	Shorter et al.	364/200
<input type="checkbox"/>	<u>5062039</u>	October 1991	Brown et al.	395/683
<input type="checkbox"/>	<u>5073852</u>	December 1991	Siegel et al.	395/700
<input type="checkbox"/>	<u>5101406</u>	March 1992	Messenger	70/94.1
<input type="checkbox"/>	<u>5187787</u>	February 1993	Skeen et al.	395/600
<input type="checkbox"/>	<u>5257369</u>	October 1993	Skeen et al.	395/650
<input type="checkbox"/>	<u>5303379</u>	April 1994	Khoyi et al.	395/683

## FOREIGN PATENT DOCUMENTS

FOREIGN-PAT-NO	PUBN-DATE	COUNTRY	US-CL
41417/89	December 1989	AU	
41416/89	December 1989	AU	
79455/91	March 1992	AU	
0 108 233	May 1984	EP	
0 130 375	January 1985	EP	
0 167 725	January 1986	EP	
0 216 535	April 1987	EP	
0 258 867	March 1988	EP	
0 387 462	September 1990	EP	
57-092954	June 1982	JP	
63-050140	March 1988	JP	
63-174159	July 1988	JP	
63-214045	September 1988	JP	
2 191 069	December 1987	GB	
2 205 018	November 1988	GB	

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 "BASIS Objectives, Environments, Concepts Functions, Value for Business Partners and Customers", IBM Confidential.  
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Digital Equipment Corporation, "Digital Packaged Application Software-Description PASD PASD Name: VAX-PAMS PASD: US.002.02", Version 2.5, Dec. 5, 1989, pp. 1-8.

Digital Equipment Corporation, "LU6.2 PAMS Self-Maintenance Service Description", Apr. 3, 1990, pp. 1-3.

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Goldman Sachs Development Effort (See Information Disclosure Statement filed with this form, entry #5).  
IBM DataTrade System Introduced Mar. 13, 1990.  
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Source Code for file tk.sub.-- news.c (including a facility called the "News Service" and hereafter referred to as "Old News" (dated May 1990, Feb. 24, 1988, Dec. 14, 1987).  
Salomon Brothers Activities (see Information Disclosure Statement filed with this form, entry #6).

ART-UNIT: 277

PRIMARY-EXAMINER: Kriess; Kevin A.

ABSTRACT:

A communication interface for decoupling one software application from another software application such communications between applications are facilitated and applications may be developed in modularized fashion. The communication interface is comprised of two libraries of programs. One library manages self-describing forms which contain actual data to be exchanged as well as type information regarding data format and class definition that contain semantic information. Another library manages communications and includes a subject mapper to receive subscription requests regarding a particular subject and map them to particular communication disciplines and to particular services supplying this information. A number of communication disciplines also cooperate with the subject mapper or directly with client applications to manage communications with various other applications using the communication protocols used by those other applications.

23 Claims, 28 Drawing figures

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L13: Entry 1 of 2

File: USPT

Aug 4, 1992

US-PAT-NO: 5136501

DOCUMENT-IDENTIFIER: US 5136501 A

TITLE: Anonymous matching system

DATE-ISSUED: August 4, 1992

## INVENTOR-INFORMATION:

NAME	CITY	STATE	ZIP CODE	COUNTRY
Silverman; David L.	Nesconset	NY		
Keller; Norman	Mt. Sinai	NY		

## ASSIGNEE-INFORMATION:

NAME	CITY	STATE	ZIP CODE	COUNTRY	TYPE CODE
Reuters Limited	London			GB2	03

APPL-NO: 07/ 357478 [PALM]

DATE FILED: May 26, 1989

INT-CL: [05] G06F 15/20, G06G 7/52

US-CL-ISSUED: 364/408

US-CL-CURRENT: 705/37; 705/38

FIELD-OF-SEARCH: 364/401, 364/408

PRIOR-ART-DISCLOSED:

## U.S. PATENT DOCUMENTS

Search Selected

Search ALL

	PAT-NO	ISSUE-DATE	PATENTEE-NAME	US-CL
<input type="checkbox"/>	<u>3573747</u>	April 1971	Adams et al.	364/408
<input type="checkbox"/>	<u>3697693</u>	October 1972	Deschenes et al.	364/408
<input type="checkbox"/>	<u>4677552</u>	June 1987	Sibley, Jr.	364/408
<input type="checkbox"/>	<u>4766293</u>	August 1988	Boston	364/408
<input type="checkbox"/>	<u>4774663</u>	September 1988	Musamanno et al.	364/408
<input type="checkbox"/>	<u>4903201</u>	February 1990	Wagner	364/900

## OTHER PUBLICATIONS

Welles, Institutional Investor "The Computer Assault on New York's Foreign Exchange Market"; May 1976, 32.

ART-UNIT: 231

PRIMARY-EXAMINER: Shaw; Dale M.

ASSISTANT-EXAMINER: Brutman; Laura

ABSTRACT:

A matching system for trading instruments in which bids are automatically matched against offers for given trading instruments for automatically providing matching transactions in order to complete trades for the given trading instruments, includes a host computer means (20) comprising means for anonymously matching active bids and offers in the system by trading instrument based on a variable matching criteria, which comprises counterparty credit limit between counterparties (24a, 26b) to a potential matching transaction. The system also includes a transaction originating keystation (24a) for providing a bid on a given trading instrument to the system for providing the potential matching transaction; a counterparty keystation (26b) for providing an offer on the given trading instrument involved in the potential matching transaction; and network means (22) for interconnecting the host computer means (20), the transaction originating keystation (24a) and the counterparty keystation (26b) in the system for enabling data communications therebetween. Both the transaction originating keystation (24a) and the counterparty keystation (26b) for the potential matching transaction each have an associated counterparty credit limit, with the system (20) blocking completion of the potential matching transaction between the transaction originating keystation (24a) and the counterparty keystation means (26b) when the potential matching transaction has an associated value in excess of counterparty credit limit. The assigned credit limits may be reset or varied by the users (24a, 26b) to change the ability of the user or subscriber to effectuate deals.

57 Claims, 20 Drawing figures

**WEST**

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Print

L16: Entry 1 of 2

File: USPT

Jul 23, 1991

US-PAT-NO: 5034916

DOCUMENT-IDENTIFIER: US 5034916 A

TITLE: Fast contact conversational video system

DATE-ISSUED: July 23, 1991

## INVENTOR-INFORMATION:

NAME	CITY	STATE	ZIP CODE	COUNTRY
Ordish; Christopher J.	Virginia Water			GB

## ASSIGNEE-INFORMATION:

NAME	CITY	STATE	ZIP CODE	COUNTRY	TYPE CODE
Reuters Limited				GB2	03

APPL-NO: 07/ 261578 [PALM]

DATE FILED: October 24, 1988

INT-CL: [05] G06F 3/14

US-CL-ISSUED: 364/900; 379/95, 379/96, 364/918.8, 364/927.6, 364/927.64, 364/927.96, 364/929, 364/929.12, 364/935.2, 364/942.06, 364/974.2, 364/976.1, 364/976.2, 364/222.2, 364/222.3, 364/228.3, 364/234, 364/234.2, 364/237.2, 364/237.3, 364/238.5, 364/263, 364/284, 364/284.3, 364/284.4

US-CL-CURRENT: 709/204; 379/93.02, 379/93.12, 379/93.18, 709/227

FIELD-OF-SEARCH: 364/200, 364/900, 379/354, 379/355, 379/368, 379/96, 379/95

PRIOR-ART-DISCLOSED:

## U.S. PATENT DOCUMENTS

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	PAT-NO	ISSUE-DATE	PATENTEE-NAME	US-CL
<input type="checkbox"/>	<u>4431870</u>	February 1984	May et al.	379/354
<input type="checkbox"/>	<u>4506111</u>	March 1985	Takenouchi et al.	379/95
<input type="checkbox"/>	<u>4525779</u>	June 1985	Davids et al.	364/200
<input type="checkbox"/>	<u>4531184</u>	July 1985	Wigan et al.	364/200
<input type="checkbox"/>	<u>4640989</u>	February 1987	Riner et al.	379/96
<input type="checkbox"/>	<u>4689761</u>	August 1987	Yurehenco	364/900
<input type="checkbox"/>	<u>4825461</u>	April 1989	Kurita et al.	379/355
<input type="checkbox"/>	<u>4885580</u>	December 1989	Noto et al.	379/354
<input type="checkbox"/>	<u>4901223</u>	February 1990	Rhyne	379/95
<input type="checkbox"/>	<u>4908853</u>	March 1990	Matsumoto	379/354

ART-UNIT: 238

PRIMARY-EXAMINER: Fleming; Michael R.

ASSISTANT-EXAMINER: Sheikh; Ayaz R.

ABSTRACT:

An improved system (30) provides fast contact in a conversational video system by use of a screen pointer (200) in connection with a windowed display of a financial data page and a unique subscriber identification code with or without an interest message code. When an interest message code is provided, the prestored interest message is expanded and inserted in the command line. If a double click is employed with the mouse 200 screen pointer, contact is automatically initiated with the called party and the interest message transmitted. However, if only a single click is detected, the interest message is inserted in the command line without being automatically transmitted. The subscriber may then double click his mouse screen pointer (200) at the location of the code in the display (76) or may press the TRANSMIT key on the keyboard (72) to send the interest message to the called party. The system (30) may also use CONTACT LISTS to initiate conversational contacts.

21 Claims, 25 Drawing figures

**WEST**

Generate Collection

Print

L18: Entry 1 of 2

File: USPT

Jun 7, 1988

US-PAT-NO: 4750135

DOCUMENT-IDENTIFIER: US 4750135 A

TITLE: Method for dynamically creating a receiver definable local trading instrument displayable record from a remotely transmitted trading instrument common data stream

DATE-ISSUED: June 7, 1988

## INVENTOR-INFORMATION:

NAME	CITY	STATE	ZIP CODE	COUNTRY
Boilen; Shelly	Westbury	NY		

## ASSIGNEE-INFORMATION:

NAME	CITY	STATE	ZIP CODE	COUNTRY	TYPE CODE
Reuters Limited	London			GB2	03

APPL-NO: 06/ 858057 [PALM]

DATE FILED: May 1, 1986

INT-CL: [04] G06F 3/14, G09G 3/02

US-CL-ISSUED: 364/514; 364/518, 340/719, 340/802

US-CL-CURRENT: 709/231; 715/507

FIELD-OF-SEARCH: 364/401, 364/406, 364/514, 364/517, 364/518, 340/721, 340/735, 340/718, 340/719, 340/723, 340/789, 340/798-803

PRIOR-ART-DISCLOSED:

## U.S. PATENT DOCUMENTS

Search Selected

Search ALL

PAT-NO	ISSUE-DATE	PATENTEE-NAME	US-CL
<input type="checkbox"/> 4580242	April 1986	Suzuki et al.	364/518

ART-UNIT: 234

PRIMARY-EXAMINER: Lall; Parshotam S.

ASSISTANT-EXAMINER: Mattson; Brian M.

## ABSTRACT:

In accordance with the method of the present invention, a local subscriber defines its own filter sets and/or local templates which are used to create new updateable local trading instrument displayable data records from a common remotely transmitted data stream of trading instrument data records, which are user created reconstituted data records different from the transmitted trading instrument data records. A common one of the defined filter sets and/or local templates may be used for a plurality of different data records having a common desired set of information categories. The transmitted data may be in a logical data format or a page display format, in which instance it is converted to a logical data format. The local template is used to convert page display data to logical data and may be



repetitively used on different display rows of a given page display and/or on different page displays to provide a plurality of receiver defined locally created trading instrument display records so that only the information desired by the local subscriber is displayed on his screen as user defined local trading instruments.

37 Claims, 11 Drawing figures

**WEST**

Generate Collection

Print

L19: Entry 1 of 2

File: USPT

May 17, 1988

US-PAT-NO: 4745559

DOCUMENT-IDENTIFIER: US 4745559 A

TITLE: Method and system for dynamically controlling the content of a local receiver data base from a transmitted data base in an information retrieval communication network

DATE-ISSUED: May 17, 1988

## INVENTOR-INFORMATION:

NAME	CITY	STATE	ZIP CODE	COUNTRY
Willis; Richard A.	West Clandon			GB
Markham; Alan	Radlett			GB
Genshaft; Robert S.	Plainview	NY		

## ASSIGNEE-INFORMATION:

NAME	CITY	STATE	ZIP CODE	COUNTRY	TYPE CODE
Reuters Limited	London			GB2	03

APPL-NO: 06/ 813703 [PALM]

DATE FILED: December 27, 1985

INT-CL: [04] G06K 15/00, G06F 15/20

US-CL-ISSUED: 364/514; 364/408, 370/91

US-CL-CURRENT: 705/37; 370/428, 370/477, 707/10, 709/217

FIELD-OF-SEARCH: 364/400, 364/401, 364/408, 364/514, 364/200, 364/900, 364/517, 370/91, 370/92

PRIOR-ART-DISCLOSED:

## U.S. PATENT DOCUMENTS

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	PAT-NO	ISSUE-DATE	PATENTEE-NAME	US-CL
<input type="checkbox"/>	<u>4260854</u>	April 1981	Kolodny et al.	364/514
<input type="checkbox"/>	<u>4633397</u>	December 1986	Macco	364/401

## FOREIGN PATENT DOCUMENTS

FOREIGN-PAT-NO	PUBN-DATE	COUNTRY	US-CL
59-89056	May 1984	JP	364/514
60-144050	July 1985	JP	364/514

ART-UNIT: 234

PRIMARY-EXAMINER: Lall; Parshotam S.

ASSISTANT-EXAMINER: Mattson; Brian M.

## ABSTRACT:

A method and system (28) are provided for dynamically controlling the content of a local receiver data base (24, 26) from a transmitter data base (20) in an information retrieval communication network (28) in which a message transmitter transmitting the transmitter data base (20) dynamically provides data base messages over a message distribution network (22) to local receivers receiving the local receiver data bases (24, 26). The transmitter data base (20) messages are used to incrementally increase and decrease the content of the local receiver data base (24, 26) on a record-by-record basis. In addition, non-data base messages may also be provided. The data base messages consist of displayable data as well as file maintenance messages. Storage templates (42) are retrievably stored at the local receiver data base (24, 26). These storage templates (42) are locally retrieved based on receipt of a unique identifier. Each stored record (40) has a unique associated storage template (42) although a storage template (42) may be corresponding to several different records (40). Set identifiers defining multiple field identifiers of information fields and ripple chains, which chains require a change in only one field in the ripple chain to be transmitted, are used by the local receiver data base (24, 26) in conjunction with transmitted update record data base messages (54) to reduce the communications capacity that is required.

60 Claims, 13 Drawing figures

**WEST**☐

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L21: Entry 1 of 2

File: USPT

Jun 16, 1987

US-PAT-NO: 4674044

DOCUMENT-IDENTIFIER: US 4674044 A

TITLE: Automated securities trading system

DATE-ISSUED: June 16, 1987

## INVENTOR-INFORMATION:

NAME	CITY	STATE	ZIP CODE	COUNTRY
Kalmus; Leslie P.	New York	NY		
Trojan; Donald R.	Stamford	CT		
Mott; Bradley	Douglaston	NY		
Strampfer; John	Greenlawn	NY		

## ASSIGNEE-INFORMATION:

NAME	CITY	STATE	ZIP CODE	COUNTRY	TYPE	CODE
Merrill Lynch, Pierce, Fenner & Smith, Inc.	New York	NY			02	

APPL-NO: 06/ 696407 [PALM]

DATE FILED: January 30, 1985

INT-CL: [04] G06F 15/20, G06F 15/30

US-CL-ISSUED: 364/408; 340/825.26, 340/825.27

US-CL-CURRENT: 705/37; 340/825.26, 340/825.27

FIELD-OF-SEARCH: 364/408, 364/200, 364/900, 340/825.26, 340/825.27

PRIOR-ART-DISCLOSED:

## U.S. PATENT DOCUMENTS

Search Selected

Search ALL

	PAT-NO	ISSUE-DATE	PATENTEE-NAME	US-CL
<input type="checkbox"/>	<u>2046381</u>	July 1936	Hicks	340/825.27
<input type="checkbox"/>	<u>3082402</u>	March 1963	Scantlin	340/825.27
<input type="checkbox"/>	<u>3296597</u>	June 1967	Scantlin	340/825.27
<input type="checkbox"/>	<u>3387268</u>	June 1968	Epstein	340/825.27
<input type="checkbox"/>	<u>3573747</u>	April 1971	Adams	340/825.27
<input type="checkbox"/>	<u>3716835</u>	February 1973	Weinberg	340/825.27
<input type="checkbox"/>	<u>4334270</u>	June 1982	Towers	364/408
<input type="checkbox"/>	<u>4412287</u>	October 1983	Braddock	364/408
<input type="checkbox"/>	<u>4473824</u>	September 1984	Claytor	340/792
<input type="checkbox"/>	<u>4554418</u>	November 1985	Toy	364/900

ART-UNIT: 236

PRIMARY-EXAMINER: Smith; Jerry

ASSISTANT-EXAMINER: Hayes; G.

ABSTRACT:

Data processing based apparatus makes an automated trading market for one or more securities. The system retrieves the best obtaining bid and asked prices from a remote data base, covering the ensemble of institutions or others making a market for the relevant securities. Data characterizing each securities buy/sell order requested by a customer is supplied to the system. The order is qualified for execution by comparing its specifics against predetermined stored parameters. The stored parameters include the operative bid and asked prices, the amount of stock available for customer purchase or sale, and maximum single order size.

Once qualified, the order is executed and the appropriate parameters are updated. The system provides inventory (position) control and profit accounting for the market maker. Finally, the system reports the executed trade details to the customer, and to national stock price reporting systems. Upon a change in the quoted price for a security, the system updates all relevant qualification parameters.

10 Claims, 6 Drawing figures

**WEST**

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L22: Entry 1 of 2

File: USPT

Sep 13, 1994

US-PAT-NO: 5347452

DOCUMENT-IDENTIFIER: US 5347452 A

TITLE: Method for providing a visual display of current trading volume and cumulative average trading volume for preselected time intervals

DATE-ISSUED: September 13, 1994

## INVENTOR-INFORMATION:

NAME	CITY	STATE	ZIP CODE	COUNTRY
Bay, Jr.; William P.	Ormond Beach	FL	32174	

APPL-NO: 07/ 729041 [PALM]

DATE FILED: July 12, 1991

INT-CL: [05] G06F 15/24

US-CL-ISSUED: 364/408; 340/825.26

US-CL-CURRENT: 705/37; 340/825.26, 345/440

FIELD-OF-SEARCH: 395/140, 364/408, 340/825.26, 340/825.27

PRIOR-ART-DISCLOSED:

## OTHER PUBLICATIONS

Lewis, Brian K. "Investor's Advantage 1.02", Computer Shopper vol. 9, No. 2 p. 153/2, Feb. 1989, Abstract from Microsearch file of Orbit AN:89-053115.  
Diascro, Stephen C. "Stock Trading System--Comp. Adv. for Serious Investor" PCM, vol. 6, No. 2, p. 140/1, Aug. 1988, Microsearch file of Orbit AN:88-050477.  
Colby, Robert W. "Trendline II", PC Magazine, vol. 5, No. 7, p. 154/2 Apr. 15, 1986, Abs. from Microsearch file of Orbit AN:86-033803.

ART-UNIT: 231

PRIMARY-EXAMINER: Hayes; Gail O.

## ABSTRACT:

A method for displaying market trading volume in selected commodities for developing a priori knowledge of price trends from abnormal trading volume comprises a graph including a first set of sequential markers. Each first marker corresponds to a preselected time interval and has an amplitude representing average volume of trades of a predetermined item during a preselected time interval taken over a predetermined number of the preselected time intervals. The method further comprises generating a set of second markers substantially concurrently in time with the corresponding first markers and which are positioned on the graph in proximity to the corresponding first markers. Each second marker has an amplitude representing the volume of trades in the preselected item during the most recent preselected time intervals with the difference in amplitude indicative of trade volume deviation from average trade volume.

6 Claims, 6 Drawing figures

**WEST**☐

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L25: Entry 1 of 2

File: USPT

Jan 11, 2000

US-PAT-NO: 6014643

DOCUMENT-IDENTIFIER: US 6014643 A

TITLE: Interactive securities trading system

DATE-ISSUED: January 11, 2000

## INVENTOR-INFORMATION:

NAME	CITY	STATE	ZIP CODE	COUNTRY
Minton; Vernon F.	Fort Worth	TX	76112	

APPL-NO: 08/ 703133 [PALM]

DATE FILED: August 26, 1996

## PARENT-CASE:

This application claims benefit of Provisional Application 60/020,865, filed Jun. 28, 1996.

INT-CL: [06] G06 F 17/60

US-CL-ISSUED: 705/37; 705/26, 705/36, 705/38, 705/40

US-CL-CURRENT: 705/37; 705/26, 705/36, 705/38, 705/40

FIELD-OF-SEARCH: 705/37, 705/39, 705/26, 705/40, 705/36

PRIOR-ART-DISCLOSED:

U.S. PATENT DOCUMENTS

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	PAT-NO	ISSUE- E	PATENTEE-NAME	US-CL
<input type="checkbox"/>	<u>3573747</u>	April 1971	Adams	705/37
<input type="checkbox"/>	<u>4346442</u>	August 1982	Musmanno	364/408
<input type="checkbox"/>	<u>4376978</u>	March 1983	Musmanno	364/408
<input type="checkbox"/>	<u>4412287</u>	October 1983	Braddock, III	364/408
<input type="checkbox"/>	<u>4674044</u>	June 1987	Kalmus et al.	364/408
<input type="checkbox"/>	<u>4677552</u>	June 1987	Sibley, Jr.	705/37
<input type="checkbox"/>	<u>4700297</u>	October 1987	Hagel, Sr. et al.	364/408
<input type="checkbox"/>	<u>4774663</u>	September 1988	Musamanno et al.	364/408
<input type="checkbox"/>	<u>4903201</u>	February 1990	Wagner	705/37
<input type="checkbox"/>	<u>5063507</u>	November 1991	Lindsey et al.	705/26
<input type="checkbox"/>	<u>5136501</u>	August 1992	Silverman et al.	705/37
<input type="checkbox"/>	<u>5270922</u>	December 1993	Higgins	364/408
<input type="checkbox"/>	<u>5285383</u>	February 1994	Lindsey et al.	705/26
<input type="checkbox"/>	<u>5297032</u>	March 1994	Trojan et al.	364/408
<input type="checkbox"/>	<u>5375055</u>	December 1994	Togher et al.	705/37
<input type="checkbox"/>	<u>5563783</u>	October 1996	Stolfo et al.	705/37
<input type="checkbox"/>	<u>5689652</u>	November 1997	Lupien et al.	705/37
<input type="checkbox"/>	<u>5717989</u>	February 1998	Tozzoli et al.	705/37

## OTHER PUBLICATIONS

Securities and Exchange Commission (SEC) Proposed Rules/Federal Register/vol. 60, No. 195/Release No. 34-36310, Oct. 10, 1995.

ART-UNIT: 275

PRIMARY-EXAMINER: MacDonald; Allen R.

ASSISTANT-EXAMINER: Jeanty; Romain

## ABSTRACT:

A first individual enters an offer to sell a security on a first data processing system. This offer is sent to a server over a communication network which is available to the public. From the server, the offer is transmitted to additional data processing systems which are connected to the publicly-available communication network. The first user's offer is eventually sent to a second data processing system, where a second individual enters an acceptance to the first user's offer to sell a security. This second user's acceptance is then transmitted back to the server over the publicly-available communication network. Upon the arrival of the acceptance, an account belonging to the second user is debited for the amount of the security just purchased, and the second user obtains title to the securities.

4 Claims, 12 Drawing figures



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**Search Results - Record(s) 1 through 4 of 4 returned.**☐ 1. Document ID: US 20020174055 A1

L31: Entry 1 of 4

File: PGPB

Nov 21, 2002

PGPUB-DOCUMENT-NUMBER: 20020174055  
PGPUB-FILING-TYPE: new  
DOCUMENT-IDENTIFIER: US 20020174055 A1

TITLE: System, method and computer program product for providing an efficient trading market

PUBLICATION-DATE: November 21, 2002

## INVENTOR-INFORMATION:

NAME	CITY	STATE	COUNTRY	RULE-47
Dick, Kevin Stewart	Palo Alto	CA	US	
Rescorla, Eric Kenneth	Mountain View	CA	US	

US-CL-CURRENT: 705/37

Full	Title	Citation	Front	Review	Classification	Date	Reference	Sequences	Attachments	Claims	KWIC	Draw Desc	Image
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☐ 2. Document ID: US 20020069076 A1

L31: Entry 2 of 4

File: PGPB

Jun 6, 2002

PGPUB-DOCUMENT-NUMBER: 20020069076  
PGPUB-FILING-TYPE: new  
DOCUMENT-IDENTIFIER: US 20020069076 A1

TITLE: GLOBAL SYNCHRONIZATION UNIT (GSU) FOR TIME AND SPACE (TS) STAMPING OF INPUT DATA ELEMENTS

PUBLICATION-DATE: June 6, 2002

## INVENTOR-INFORMATION:

NAME	CITY	STATE	COUNTRY	RULE-47
Faris, Sadeg M.	Pleasantville	NY	US	
Hamlin, Gregory	Presque Island	ME	US	
Flannery, James P.	New City	NY	US	

US-CL-CURRENT: 705/1

Full	Title	Citation	Front	Review	Classification	Date	Reference	Sequences	Attachments	Claims	KWIC	Draw Desc	Image
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☐ 3. Document ID: US 20020026321 A1

L31: Entry 3 of 4

File: PGPB

Feb 28, 2002

PGPUB-DOCUMENT-NUMBER: 20020026321  
PGPUB-FILING-TYPE: new  
DOCUMENT-IDENTIFIER: US 20020026321 A1

TITLE: INTERNET-BASED SYSTEM AND METHOD FOR FAIRLY AND SECURELY ENABLING

TIMED-CONSTRAINED COMPE ION USING GLOBALLY TIME-SYCHRON ED CLIENT SUBSYSTEMS AND  
INFORMATION SERVERS HAVING MICROSECOND CLIENT-EVENT RESOLUTION

PUBLICATION-DATE: February 28, 2002

## INVENTOR-INFORMATION:

NAME	CITY	STATE	COUNTRY	RULE-47
FARIS, SADEG M.	PLEASANTVILLE	NY	US	
HAMLIN, GREGORY J.	PRESQUE ISLAND	ME	US	
FLANNERY, JAMES P.	NEW CITY	NY	US	

US-CL-CURRENT: 705/1

Full	Title	Citation	Front	Review	Classification	Date	Reference	Sequences	Attachments
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KWIC	Draw Desc	Image
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☐ 4. Document ID: EP 1240597 A2 WO 200142967 A2 AU 200129079 A

L31: Entry 4 of 4

File: DWPI

Sep 18, 2002

DERWENT-ACC-NO: 2001-390089

DERWENT-WEEK: 200269

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TITLE: Computerized system for trading of securities in which order preferences for securities are entered by a user, are stored on a computer and used as default preferences

INVENTOR: ABSHIRE, J W; BUNDA, J ; DIXON, T ; FIERCE, E E ; GRUBEN, T W ; LESTER, S ; MONGARAS, J C ; NESMITH, K A ; SALINAS, O

PRIORITY-DATA: 1999US-0460045 (December 13, 1999)

## PATENT-FAMILY:

PUB-NO	PUB-DATE	LANGUAGE	PAGES	MAIN-IPC
EP 1240597 A2	September 18, 2002	E	000	G06F017/00
WO 200142967 A2	June 14, 2001	E	021	G06F017/00
AU 200129079 A	June 18, 2001		000	G06F017/00

INT-CL (IPC): G06 F 17/00

Full	Title	Citation	Front	Review	Classification	Date	Reference	Sequences	Attachments
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KWIC	Draw Desc	Image
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L37: Entry 7 of 26

File: PGPB

Jul 11, 2002

PGPUB-DOCUMENT-NUMBER: 20020091611

PGPUB-FILING-TYPE: new

DOCUMENT-IDENTIFIER: US 20020091611 A1

TITLE: INTERACTIVE SECURITIES TRADING SYSTEM

PUBLICATION-DATE: July 11, 2002

## INVENTOR-INFORMATION:

NAME	CITY	STATE	COUNTRY	RULE-47
MINTON, VERNON F.	FORT WORTH	TX	US	

APPL-NO: 09/ 363623 [PALM]

DATE FILED: July 29, 1999

CONTINUED PROSECUTION APPLICATION: This is a publication of a continued prosecution application (CPA) filed under 37 CFR 1.53(d).

## RELATED-US-APPL-DATA:

Application 09/363623 is a continuation-of US application 08/703133, filed August 26, 1996, US Patent No. 6014643

INT-CL: [07] G06 F 17/60

US-CL-PUBLISHED: 705/37

US-CL-CURRENT: 705/37

REPRESENTATIVE-FIGURES: 4

## ABSTRACT:

A first individual enters an offer to sell a security on a first data processing system. This offer is sent to a server over a communication network, which is available to the public. From the server, the offer is transmitted to additional data processing systems which are connected to the publicly-available communication network. The first user's offer is eventually sent to a second data processing system, where a second individual enters an acceptance to the first user's offer to sell a security. This second user's acceptance is then transmitted back to the server over the publicly-available communication network. Upon the arrival of the acceptance, an account belonging to the second user is debited for the amount of the security just purchased, and the second user obtains title to the securities.

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L37: Entry 12 of 26

File: PGPB

May 2, 2002

PGPUB-DOCUMENT-NUMBER: 20020052821  
PGPUB-FILING-TYPE: new  
DOCUMENT-IDENTIFIER: US 20020052821 A1

TITLE: Method and system for supporting trade of securities

PUBLICATION-DATE: May 2, 2002

## INVENTOR-INFORMATION:

NAME	CITY	STATE	COUNTRY	RULE-47
Terashima, Shigehiko	Kawasaki		JP	

APPL-NO: 09/ 802995 [PALM]  
DATE FILED: March 12, 2001

## FOREIGN-APPL-PRIORITY-DATA:

COUNTRY	APPL-NO	DOC-ID	APPL-DATE
JP	2000-326374	2000JP-2000-326374	October 26, 2000

INT-CL: [07] G06 F 17/60

US-CL-PUBLISHED: 705/37

US-CL-CURRENT: 705/37

REPRESENTATIVE-FIGURES: 15

## ABSTRACT:

A system and method which support securities transactions, preventing the market price from fluctuating when introducing a new set of securities to the public. In this trade support system, a trade processing unit processes buying and selling orders received online from customers' terminals. Each time a deal is completed, the trade price acquisition unit takes in the resultant trade price. A price evaluation unit determines whether the acquired trade price meets the offering price that is suggested in the prospectus of the public offering. If the former is lower than the latter, the price evaluation unit so notifies a trading order placement unit. A subscription period checking unit, on the other hand, checks whether the present date and time is within the subscription period. The trading order placement unit places a buying or selling order at a price within an allowable range around the suggested offering price, when an excessive difference between the trade price and suggested offering price is found during the subscription period. As a result of the above operation, the market price is stabilized during the subscription period.

**WEST**

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L37: Entry 16 of 26

File: PGPB

Jan 3, 2002

PGPUB-DOCUMENT-NUMBER: 20020002513  
PGPUB-FILING-TYPE: new  
DOCUMENT-IDENTIFIER: US 20020002513 A1

TITLE: COMPUTER NETWORK TRANSACTION SYSTEM

PUBLICATION-DATE: January 3, 2002

## INVENTOR-INFORMATION:

NAME	CITY	STATE	COUNTRY	RULE-47
CHIASSEN, JAMES P.	BURLINGTON	VT	US	

APPL-NO: 09/ 220666 [PALM]  
DATE FILED: December 24, 1998

CONTINUED PROSECUTION APPLICATION: This is a publication of a continued prosecution application (CPA) filed under 37 CFR 1.53(d).

## RELATED-US-APPL-DATA:

Application is a non-provisional-of-provisional application 60/109833, filed November 25, 1998,

INT-CL: [07] G06 F 17/60

US-CL-PUBLISHED: 705/27

US-CL-CURRENT: 705/27

REPRESENTATIVE-FIGURES: 3

## ABSTRACT:

A system (20) for conducting interactive electronic commerce, including shopping, bill payment and investment portfolio activities, across a network, such as the Internet, among multiple merchant sites (24), multiple billing sites (25) or multiple investment sites (26). The system includes tools that facilitate such activities, which tools are displayed as frames in a portion of the display of a user's computer. Remaining portions of the display of a user's computer may be filled with content from a merchant site, payment site, investment site or other site of interest. Information may be readily transferred from, for example, the web page of a merchant site to an e-catalog (124) where information concerning an item of interest is stored. Templates (122) are provided for facilitating entry of such information. An order may be submitted to multiple merchant sites based on the contents of the e-catalog as a single operation. Similarly, bills may be paid to multiple billing sites as a single operation and investment transactions may be effected with multiple investment sites as a single operation.

[0001] This application claims the benefit of U.S. Provisional Application No. 60/109,833, filed Nov. 25, 1998.

**WEST**

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L37: Entry 20 of 26

File: USPT

Jun 18, 2002

US-PAT-NO: 6408282

DOCUMENT-IDENTIFIER: US 6408282 B1

TITLE: System and method for conducting securities transactions over a computer  
network

DATE-ISSUED: June 18, 2002

## INVENTOR-INFORMATION:

NAME	CITY	STATE	ZIP CODE	COUNTRY
Buist; Walter D.	Hasbrouck Heights	NJ		

## ASSIGNEE-INFORMATION:

NAME	CITY	STATE	ZIP CODE	COUNTRY	TYPE CODE
Wit Capital Corp.	New York	NY			02

APPL-NO: 09/ 292553 [PALM]

DATE FILED: April 15, 1999

## PARENT-CASE:

This application claims benefit to U.S. Provisional No. 60/122,208 filed Mar. 1, 1999.

INT-CL: [07] G06 F 17/60

US-CL-ISSUED: 705/37; 705/36

US-CL-CURRENT: 705/37; 705/36

FIELD-OF-SEARCH: 705/36, 705/37

PRIOR-ART-DISCLOSED:

## U.S. PATENT DOCUMENTS

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	PAT-NO	ISSUE-DATE	PATENTEE-NAME	US-CL
<input type="checkbox"/>	<u>3573747</u>	April 1971	Adams	705/37
<input type="checkbox"/>	<u>5809483</u>	September 1998	Broka et al.	705/37
<input type="checkbox"/>	<u>5873071</u>	February 1999	Ferstenberg et al.	705/37
<input type="checkbox"/>	<u>5924082</u>	July 1999	Silverman et al.	705/37
<input type="checkbox"/>	<u>6014643</u>	July 1999	Minton	705/37
<input type="checkbox"/>	<u>5950177</u>	September 1999	Lupien et al.	705/37
<input type="checkbox"/>	<u>6012046</u>	January 2000	Lupien	705/37
<input type="checkbox"/>	<u>6243691</u>	June 2001	Fisher et al.	705/37

## FOREIGN PATENT DOCUMENTS

FOREIGN-PAT-NO	PUBN-DATE	COUNTRY	US-CL
0407026	September 1991	EP	
WO9506918	March 1995	WO	
WO9634357	October 1996	WO	
WO9852133	November 1998	WO	

## OTHER PUBLICATIONS

"Morgan Stanley Deploys Black Box Trading System"; May 1991; Trading Systems Technology; Dialog file 636, Accession No. 01493468.\*  
Louis; "New breed of ECNs competes for market share"; Nov. 1998; Wall Street and Technology Online Trading Supplement PP: 16-17; Dialog file 15, Accession No. 01726082.\*  
Resnick; "Serial portfolio. (Online securities trading) (including listing of products and services"; Dec. 1992; Computer, V14, n11, p90(4); dialog filw 148, Accession No. 06184981.\*  
Lehman "Trading and liquidity on the Tokyo Stock Exchange: a bird's eye view"; Jul. 1994, Journal of Finance, v49, n3, p951(34); Dialog file 148, Accession No. 0752021.

ART-UNIT: 2163

PRIMARY-EXAMINER: Hafiz; Tariq R.

ASSISTANT-EXAMINER: Jeanty; Romain

## ABSTRACT:

The system and method of the preferred embodiment supports trading of securities over the Internet both on national exchanges and outside the national exchanges. The preferred embodiment supports an improved human interface and a continuous display of real-time stock quotes on the user's computer screen. The ergonomic graphical user interface (GUI) of the preferred embodiment includes several functional benefits in comparison with existing on-line consumer trading systems. In the preferred embodiment, the users are subscribers to a securities trading service offered over the Internet. Preferably, each subscriber to this service is simultaneously connected from his own computer to a first system which provides user-to-user trading capabilities and to a second system which is a broker/dealer system of his/her choice. The system providing the user-to-user trading services preferably includes a root server and a hierarchical network of replicated servers supporting replicated databases. The user-to-user system provides real-time continuously updated stock information and facilitates user-to-user trades that have been approved by the broker/dealer systems with which it interacts. Users of the preferred system can trade securities with other users of the system. As part of this user-to-user trading, a user can accept a buy or sell offer at the terms offered or he can initiate a counteroffer and negotiate a trade.

7 Claims, 71 Drawing figures

**WEST**

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L37: Entry 22 of 26

File: USPT

Jan 11, 2000

US-PAT-NO: 6014643

DOCUMENT-IDENTIFIER: US 6014643 A

TITLE: Interactive securities trading system

DATE-ISSUED: January 11, 2000

## INVENTOR-INFORMATION:

NAME	CITY	STATE	ZIP CODE	COUNTRY
Minton; Vernon F.	Fort Worth	TX	76112	

APPL-NO: 08/ 703133 [PALM]

DATE FILED: August 26, 1996

## PARENT-CASE:

This application claims benefit of Provisional Application 60/020,865, filed Jun. 28, 1996.

INT-CL: [06] G06 F 17/60

US-CL-ISSUED: 705/37; 705/26, 705/36, 705/38, 705/40

US-CL-CURRENT: 705/37; 705/26, 705/36, 705/38, 705/40

FIELD-OF-SEARCH: 705/37, 705/39, 705/26, 705/40, 705/36

PRIOR-ART-DISCLOSED:

U.S. PATENT DOCUMENTS

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<input type="checkbox"/>	<u>4346442</u>	August 1982	Musmanno	364/408
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<input type="checkbox"/>	<u>4412287</u>	October 1983	Braddock, III	364/408
<input type="checkbox"/>	<u>4674044</u>	June 1987	Kalmus et al.	364/408
<input type="checkbox"/>	<u>4677552</u>	June 1987	Sibley, Jr.	705/37
<input type="checkbox"/>	<u>4700297</u>	October 1987	Hagel, Sr. et al.	364/408
<input type="checkbox"/>	<u>4774663</u>	September 1988	Musamanno et al.	364/408
<input type="checkbox"/>	<u>4903201</u>	February 1990	Wagner	705/37
<input type="checkbox"/>	<u>5063507</u>	November 1991	Lindsey et al.	705/26
<input type="checkbox"/>	<u>5136501</u>	August 1992	Silverman et al.	705/37
<input type="checkbox"/>	<u>5270922</u>	December 1993	Higgins	364/408
<input type="checkbox"/>	<u>5285383</u>	February 1994	Lindsey et al.	705/26
<input type="checkbox"/>	<u>5297032</u>	March 1994	Trojan et al.	364/408
<input type="checkbox"/>	<u>5375055</u>	December 1994	Togher et al.	705/37
<input type="checkbox"/>	<u>5563783</u>	October 1996	Stolfo et al.	705/37
<input type="checkbox"/>	<u>5689652</u>	November 1997	Lupien et al.	705/37
<input type="checkbox"/>	<u>5717989</u>	February 1998	Tozzoli et al.	705/37

## OTHER PUBLICATIONS

Securities and Exchange Commission (SEC) Proposed Rules/Federal Register/vol. 60, No. 195/Release No. 34-36310, Oct. 10, 1995.

ART-UNIT: 275

PRIMARY-EXAMINER: MacDonald; Allen R.

ASSISTANT-EXAMINER: Jeanty; Romain

## ABSTRACT:

A first individual enters an offer to sell a security on a first data processing system. This offer is sent to a server over a communication network which is available to the public. From the server, the offer is transmitted to additional data processing systems which are connected to the publicly-available communication network. The first user's offer is eventually sent to a second data processing system, where a second individual enters an acceptance to the first user's offer to sell a security. This second user's acceptance is then transmitted back to the server over the publicly-available communication network. Upon the arrival of the acceptance, an account belonging to the second user is debited for the amount of the security just purchased, and the second user obtains title to the securities.

4 Claims, 12 Drawing figures